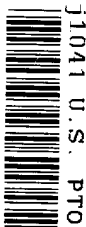


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1041 U.S. PTO

## UTILITY PATENT APPLICATION TRANSMITTAL

JC978 U.S. PTO  
10/023321

|  |                                     |   |
|--|-------------------------------------|---|
| Address to:<br><b>Box PATENT APPLICATION</b><br><b>Commissioner for Patents</b><br><b>United States Patent &amp; Trademark Office</b><br><b>Washington, D.C. 20231</b> | Attorney Docket<br>No.              | 2001-053-ICE  |
|  | Inventor(s) or<br>Appln. Identifier | Michael S. Milillo, David G.<br>Hostetter, Christopher J. West, and<br>Robert P. Eskenberry |

1. This application entitled CACHE STORAGE SYSTEM AND METHOD is:
- a. X A new application under 37 C.F.R. § 1.53(b).
- b.      A      continuation      divisional or      continuation-in-part application under 37 C.F.R. § 1.53(b) of prior application Serial No.      /      filed on     , entitled     .
- c.      A new utility application which claims the benefit of provisional application Serial No.     , filed on     .

Application elements and other attached papers:

2. X Specification (including Claims and Abstract) [Total Pages 23]
3. X Drawings (     informal / X formal) [Total Sheets 5]
4. X Oath or Declaration
- a. X Newly-executed
- b.      Copy from a prior application (37 C.F.R. § 1.63(d))
5.      Incorporation By Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Item 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.      This application is filed by fewer than all the inventors named in the prior application, 37 C.F.R. § 1.53(d)(4).
- a.      **DELETE** the following inventor(s) named in the prior nonprovisional application:
- 
- 
- b.      The inventor(s) to be deleted are set forth on a separate sheet attached hereto.

## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this UTILITY PATENT APPLICATION TRANSMITTAL and the documents referred to as attached therein are being deposited on the below date with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" addressed to: Box Patent Application, Commissioner for Patents, United States Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202 on:

Express

Mail Label No. EK 963646413 USStephanie Klepp

(Type or print name of person mailing paper)

Date of Deposit: 12/18/2001Stephanie Klepp

(Signature of person mailing paper)

## 7. Preliminary Amendment:

- a. ☐ A Preliminary Amendment is attached.
- b. ☐ Cancel in this application original claims \_\_\_\_\_ of the prior application before calculating the filing fee.
- c. ☐ Please amend the specification by inserting before the first line the sentence:  
       "This is a \_\_\_\_\_ continuation \_\_\_\_\_ divisional of copending  
       application(s) serial number \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_."
- d. ☐ A Petition to Suspend Prosecution For The Time Necessary to File An Amendment (New Application Filed Concurrently) is attached.

## 8. Small entity status:

- a. ☐ Applicant claims small entity status.
- b. ☐ Small entity status was claimed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer desired.

## 9. Fee Calculation:

| FOR   | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE    | CALCULATIONS    |
|---|-----------------|-----------------|---------|-----------------|
| TOTAL CLAIMS (37 C.F.R. § 1.16(c))  | 22 -20 =        | 2               | x 18.00 | 36.00           |
| INDEPENDENT CLAIMS (37 C.F.R. § 1.16(b))  | 4 -3 =          | 1               | x 84.00 | 84.00           |
| MULTIPLE DEPENDENT CLAIMS (if applicable) (37 C.F.R. § 1.16(d))                 |                 |                 | 280.00  |                 |
| BASIC FEE (37 C.F.R. § 1.16(a))   |                 |                 |         | 740.00          |
| TOTAL OF ABOVE CALCULATIONS   |                 |                 |         | 860.00          |
| REDUCTION BY 50% FOR FILING BY SMALL ENTITY (NOTE 37 C.F.R. §§ 1.9, 1.27, 1.28) |                 |                 |         |                 |
| \$40.00 ASSIGNMENT RECORDAL FEE (if applicable)                                 |                 |                 |         | 40.00           |
| <b>TOTAL</b>  |                 |                 |         | <b>\$900.00</b> |

10. ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
11. ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees (or any deficiency therein) to Storage Technology Corporation Deposit Account No. 19-4545 :
- a. ☒ Fees required under 37 C.F.R. § 1.16.
- b. ☒ Fees required under 37 C.F.R. § 1.17.
12. Maintenance of Copendency of Prior Application

☐ A request for extension of time and the appropriate fee have been filed in the pending **prior** application (or are being filed in the prior application concurrently herewith) to extend the period for response until \_\_\_\_\_.

13. X An Information Disclosure Statement (IDS) is attached, along with the following indicated attachments thereto:

a. X Form PTO/SB/08A (1) sheet(s)

b. X Copies of references cited

14.      Certified copy of priority document(s)

15.      Nonpublication Request Under 37 C.F.R. § 1.213(a)

16.      Request for Early Publication Under 37 C.F.R. § 1.219

17. X Return Receipt Postcard

18.      Other: \_\_\_\_\_  
\_\_\_\_\_

19. X An Assignment of the invention to Storage Technology Corporation  
having an address of One StorageTek Drive, MS-4309, Louisville, Colorado 80028-4309

a. X is attached.

b.      was recorded on \_\_\_\_\_ at Reel \_\_\_\_\_, Frame \_\_\_\_\_.

c. X Applicant requests that the above assignee information be published with the application.

20. The power of attorney in the prior application is to:

\_\_\_\_\_  
Name of Attorney of Record

\_\_\_\_\_  
Reg. No.

     The power appears in the original papers in the prior application.

     The power does not appear in the original papers, but was filed on \_\_\_\_\_.

     A new power has been executed and is attached.

21. Correspondence Address: Please address all future communications to:

Timothy R. Schulte,  
Storage Technology Corporation  
One StorageTek Drive, MS-4309  
Louisville, Colorado 80028-4309  
Telephone: 303-673-5989; Fax: 303-673-4151

Respectfully submitted,

Date 12/18/01

Timothy R. Schulte

Name: Timothy R. Schulte

Registration No.: 29,013

X Attorney or agent of record

     Filed under Rule 34(a)